OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
HEALTH AFFAIRS
SKYLINE FIVE, SUITE 810, 5111 LEESBURG PIKE
FALLS CHURCH, VIRGINIA 22041-3206

TRICARE
MANAGEMENT
ACTIVITY

EXECUTIVE SUMMARY SHEET

MEMORANDUM FOR EXECUTIVE DIRECTOR, INFORMATION MANAGEMENT, TECHNOLOGY, AND REENGINEERING

FROM: Ms. Dorothy Hennessey, Certifying Official

SUBJECT: Defense Occupational Health Readiness System (DOHRS) Evaluating
Auditory Readiness Tri-Service Application (EAR3-A)

PURPOSE: Signature

DISCUSSION: The attached Accreditation Report documents the certification and accreditation of DOHRS EAR3-A. DOHRS EAR3-A has not been previously certified or accredited.

The security planning process found that position sensitivity designations and appropriate clearances for contractor personnel have not been completed, Memoranda of Agreement have not been developed, and the Hardlock used to protect the annual callibration function has not been described.

The security evaluation determined that C2 security requirements for Audit, Identification and Authentication, Security Testing, Security Test Documentation, Object Reuse, Discretionary Access Control, System Architecture, Security Design Documentation, Security Features User's Guide, and System Integrity are fully met. The security evaluation determined that the requirement for Trusted Facility Manual is partially met.

The risk analysis concluded that, overall, the risk exposure of DOHRS EAR3-A is Very Low and considered to be acceptable.

DOHRS EAR3-A has been certified, and accreditation activities provide assurance that DOHRS EAR3-A will operate in compliance with DoD security policies. Therefore, it is appropriate at this time to provide an accreditation for the system for a period of three years.

RECOMMENDATION: Mr. James C. Reardon, Executive Director IMT&R sign the attached Accreditation Statement.

CERTIFICATION STATEMENT
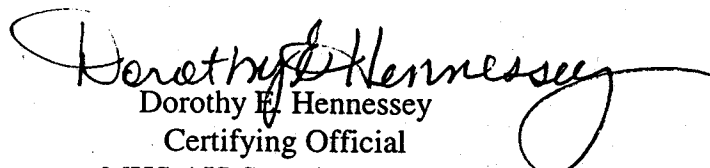## FOR
Defense Occupational Health Readiness System (DOHRS)
Evaluating Auditory Readiness Tri-Service Application (EAR3-A)

Based on the results of the security evaluation dated March 1998,
I hereby certify that DOHRS EAR3-A meets the DoD minimum security
requirements, DoD security standards for the C2 level of trust, and other
security requirements for the management of DoD information. A
description of the system's deficiencies are provided in the attachment.

This certification is dependent on the following conditions:

- Implementation of the attached recommendations within one year.

This certification is effective for three years, during which time configuration
management is to be performed in accordance with DoD life cycle
management policy and DMIM Administrative Instruction No. 19.

Dorothy E. Hennessey
Certifying Official
MHS AIS Security Program

Date: 3-29-98

Attachment

ATTACHMENT
SECURITY EVALUATION RECOMMENDATIONS

1. Complete process to ensure that sensitive position designations and appropriate security investigations as prescribed in DoD 5200.2-R for contractor personnel are met.

2. Obtain signatures for identified MOA's. Verify that all interfaced systems are accredited to at least the C2 level of trust.

3. Add information to the MA 1000 Operations Manual that describes the Hardlock used to protect the annual calibration functionality.

DEPARTMENT OF THE ARMY
U.S. ARMY CENTER FOR HEALTH PROMOTION AND PREVENTIVE MEDICINE
5158 BLACKHAWK ROAD
ABERDEEN PROVING GROUND, MARYLAND 21010-5422

REPLY TO
ATTENTION OF

MCHB-TS-OHM   3 January 2000

MEMORANDUM THRU Office of the Assistant Secretary of Defense, Health Affairs, Attn: Dorothy Hennessey, Skyline Five, Suite 810, 5111 Leesburg Pike, Falls Church, Virginia 22041-3206

FOR Executive Director, Information Management, Technology, and Reengineering

SUBJECT Defense Occupational Health Readiness System Hearing Conservation (DOHRS-HC) C2 Compliance Update

1. Purpose: This document provides information to the Executive Director, Information Management, Technology, and Reengineering on the status of the Defense Occupational Health Readiness System Hearing Conservation (DOHRS-HC) security evaluation.

2. Scope: This document applies to the next release of the DOHRS-HC application, which is tentatively planned for late winter or early spring, 2000.

3. Background:

   a. The DOHRS-HC application [formerly known as the DOHRS Evaluating Auditory Readiness Tri-Service Application (EAR3-A)] received C2 accreditation in March 1998. The next scheduled accreditation for the DOHRS-HC application is March 2001.

   b. The DOHRS-HC application, Version 2.32, passed the Clinical Business Area Development, Test, and Evaluation in April 1999. The application was fielded during the spring and summer of 1999, and is being actively utilized throughout the DoD. The DOHRS-HC application is no longer under development and is in the life cycle maintenance phase.

4. C2 Accreditation Status Update: Existing authorization for C2 accreditation was received in March 1998. The DOHRS Project Office was directed to implement the following within 1 year of accreditation:

   a. Complete process to ensure that sensitive position designations and appropriate security investigations as prescribed in DoD 5200.2-R for contract personnel are met.

Status: Contract personnel assigned to maintain the DOHRS-HC application are contractually required/obligated to possess necessary ADP II [National Agency Check Plus Written Inquiries (NACI)] clearance documentation.

   b. Obtain signatures for identified Memoranda of Agreement (MOAs). Verify that all interfaced systems are accredited to at least the C2 level of trust.

Readiness thru Health

Status: The DOHRS-HC application, Version 2.32, and the next scheduled release (Version 2.6), do not interface with any external software systems.

c. Add information to the MA 1000 Operating Manual that describes the hardlock used to protect the annual calibration function.

Status: Current version of the MAICO 1000, Version 2.35, does not incorporate this information. Benson Medical has updated the Operating Manual for future application releases.

d. DOHRS-HC Application Changes – Version 2.60

The following list itemizes the modifications made to the fielded version of the DOHRS-HC application.

(1) DOHRS-HC Main Application Module. This module has been updated to correct problems associated with the Follow Up 2 hearing test and problems associated with data transfer between the MAICO and the DOHRS-HC application (known as "Error Message 3027") and provide the end user with the capability to edit demographic data prior to saving hearing test results. The application also includes an improved capability to export data to the data gateway via secured socket layer. Additionally, the application includes an internal diagnostic tool to assist with diagnosing, on the workstation, MAICO and HC communications errors.

Impact on Current C2 Accreditation status: None.

(2) DOHRS-HC Report Module. This module has been updated to include OSHA reportable hearing loss reports, and negative significant threshold shift (STS) reports. The DOHRS-HC application has the capability to generate more than 87 various Hearing Conservation Reports for the local and installation level.

Impact on Current C2 Accreditation status: None.

(3) DOHRS-HC Database Utilities. This module has been updated to include the capability to recalculate STS, both positive and negative for Hearing Evaluated Automated Registry System data. It is important that each site run this database utility prior to executing negative and positive STS reports.

Impact on Current C2 Accreditation status: None.

5. Recommended Updates to Existing Security Evaluation Documentation. It is recommended that the following change be updated for inclusion in the existing Security Evaluation for DOHRS EAR3-A dated March 1998: A global name change is required throughout the document to accurately reflect the current application name from Defense Occupational Health Readiness System (DOHRS) Evaluating Auditory Readiness Tri-Service Application (EAR3-A) to DOHRS Hearing Conservation (DOHRS-HC).
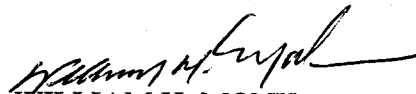
MCHB-TS-OHM
SUBJECT: DOHRS-HC C2 Compliance Update

6. Recommendation: Based on the Development, Test, and Evaluation findings of April 1999, and the maintenance efforts on the upcoming release, the DOHRS-HC application has the necessary technical controls and documentation in place to maintain its current accreditation status.

7. The point of contact for this recommendation is Mr. Jim Patrick at 410-436-2926.

FOR THE COMMANDER:

WILLIAM H. MONK
Project Manager, DOHRS